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- Pending written complaints alleging sales practice violations and compensatory damages of \$5,000 or more.

How to Request a CRD Report

The Securities Division of the Missouri Secretary of State's Office can provide you with a CRD report on any stockbroker or brokerage firm. You can request this report by contacting our office.

To assist the Division, please provide the correct spelling of any individual or firm you wish to check and, if possible, the address where they are located.

Although the vast majority of the stockbrokers and brokerage firms are trustworthy and reputable, some are not. One phone call can provide you with the information you need to make an informed decision before you invest your hard-earned dollars.



Matt Blunt, Secretary of State
Securities Division
600 W. Main Street
PO Box 1276
Jefferson City, MO 65102
(573) 751-2061

Toll-Free Investor Hotline
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How To Check Out Your Stockbroker or Brokerage Firm



Matt Blunt
Office of the Secretary of State
Securities Division

HOW TO CHECK OUT YOUR STOCKBROKER OR BROKERAGE FIRM

Where do you turn if you want to check on a stockbroker or brokerage firm? If you are about to entrust your money with an individual or securities firm, you may want to check their records in the securities business. Checking these records may save you both time and money.

Central Registration Depository System

In most cases, a stockbroker or any other person who wants to sell securities in Missouri must be registered with the Securities Division of the Missouri Secretary of State's Office. These registration records are maintained on the Central Registration Depository system ("CRD"). The CRD is a computerized

database that holds registration information on over 600,000 stockbrokers and over 6,000 brokerage firms. Every state securities regulator can access this CRD system.

Registration, Employment and Exam Information

The CRD contains a host of information relating to the broker including:

- The broker's registration status with each state.
- The broker's employment history for the past 10 years.
- The broker's securities examination scores.

The information may also include:

Bankruptcies and Criminal Actions

- Bankruptcies filed within the last 10 years and outstanding liens and judgments.
- Criminal convictions or indictments.

Disciplinary Actions, Suits, and Complaints Relating to the Broker's Securities or Commod- ities Activities

- Final disciplinary actions that have been taken by federal, state, and foreign securities regulators or the National Association of Securities Dealers Regulation.
 - Employment terminations involving alleged violations of investment-related laws or rules, fraud, theft, or failure to supervise.
 - Civil judgments and arbitration decisions.
 - Settlements of \$10,000 or more among the parties to arbitrations, civil suits, and customer complaints.
 - Pending disciplinary actions brought by regulators.
 - Pending arbitrations and civil proceedings.
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